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PATENT  
Docket No. 376462000800

CERTIFICATE OF MAILING BY "FIRST CLASS MAIL"

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231, on January 10, 2002.

*Katrin Kauffmann*  
Katrin Kauffmann

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

FRYDMAN et. al.

Serial No.: 09/922,407

Filing Date: August 2, 2001

For: CYCLIC POLYAMINE COMPOUNDS  
FOR CANCER THERAPY

Examiner: To Be Assigned

Group Art Unit: 1619



09/922,407

INFORMATION DISCLOSURE  
STATEMENT UNDER 37 C.F.R. § 1.97

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Pursuant to 37 C.F.R. § 1.97 and § 1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. Copies of the documents (42 references and the PCT International Search Report for PCT/US01/24282) are also submitted herewith. The Examiner is requested to make these documents of record.

This Information Disclosure Statement is submitted:

☐ With the application; accordingly, no fee or separate requirements are required.

- ☒ Within three months of the application filing date or before mailing of a first Office Action on the merits; accordingly, no fee or separate requirements are required.
- ☐ After receipt of a first Office Action on the merits but before mailing of a final Office Action or Notice of Allowance.
- ☐ A fee is required. A check in the amount of \$\_\_\_\_\_ is enclosed.
- ☐ A fee is required. Accordingly, a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.
- ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below; accordingly; no fee is believed to be due.
- ☐ After mailing of a final Office Action or Notice of Allowance, but before payment of the issue fee. Accordingly, a Petition requesting consideration of the Information Disclosure Statement, an authorization to charge our deposit account, and a Certification under 37 C.F.R. § 1.97(e) are provided herein.

Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

The International Search Report which was established by the European Patent Office acting as International Search Authority in the Patent Cooperation Treaty international counterpart (PCT/US01/24282) of this application is enclosed. The two documents cited in that search report are included on the accompanying PTO-1449 as items 8 and 10 (both the A1 and B1 versions of those documents are included). The U.S. patent family members of item 8 as indicated in the International Search Report are included on the accompanying PTO-1449 as items 1 and 2.

In accordance with 37 C.F.R. § 1.98(a)(3)(i), a concise explanation of the relevance of the following documents cited on the accompanying Form PTO-1449 not in the English language is provided:

Item No. 21 on the accompanying PTO-1449, in the French language, describes the synthesis of certain cyclic polyamines in the lunarine and lunaridine series of compounds. An English-language abstract from Chemical Abstracts accompanies the reference.

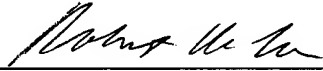
Item No. 24 on the accompanying PTO-1449, in the German language, describes the synthesis of certain polyaminolactams. An English-language abstract from Chemical Abstracts accompanies the reference.

The information contained in this Information Disclosure Statement under 37 C.F.R. § 1.97 is to the best of my knowledge and is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, applicant petitions for any required relief including extensions of time and authorizes the Assistant Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 03-1952** referencing 376462000800. However, the Assistant Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

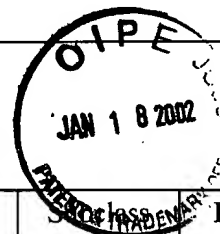
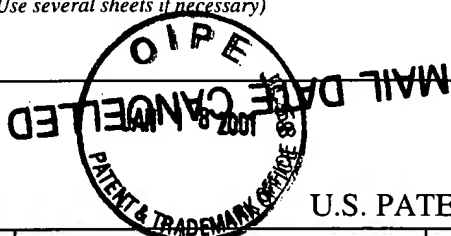
Dated: January 10, 2002

Respectfully submitted,

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<b>Form PTO-1449</b> <b>INFORMATION DISCLOSURE CITATION</b> <b>IN AN APPLICATION</b> <i>(Use several sheets if necessary)</i>	Docket Number 376462000800	Application Number 09/925,997
	Applicant FRYDMAN et al.	
	Filing Date August 2, 2001	Group Art Unit : 1619
	Mailing Date January 10, 2002	



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## U.S. PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Name	Class	Subclass	Filing Date If Appropriate
	1.	03/12/91	4,999,349	Toda et al.			
	2.	12/17/91	5,073,549	Toda et al.			
	3.	02/09/99	5,869,734	Wang et al.			
	4.	02/29/00	6,031,003	Nemeth et al.			
	5.	05/29/01	6,238,707	Chun			

## FOREIGN PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Country	Class	Subclass	Translation YES NO
	6.	03/04/93	WO 93/04373	PCT			
	7.	09/01/94	WO 94/18959	PCT			
	8.	10/16/91	EP 0 451 547 A1 & B1	Europe			
	9.	04/02/97	EP 0 765 866	Europe			
	10.	09/03/97	EP 0 792 875 A1 & B1	Europe			

## OTHER DOCUMENTS

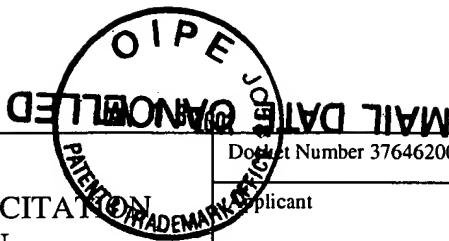
(including author, title, Date, Pertinent Pages, Etc.)

Examiner Initials	Ref. No.	Title
	11.	Bencini, et. al., (1992). "Potential ATPase Mimics by Polyammonium Macrocycles: Criteria for Catalytic Activity," <i>Bioorganic Chemistry</i> 20:8-29.
	12.	Cordell et. al., (1994). "Recent studies on cytotoxic, anti-HIV and antimalarial agents from plants," <i>Pure &amp; Appl. Chem.</i> 66(10/11):2283-2286.
	13.	Dang et. al., (1997). "Oncogenes in Tumor Metabolism, Tumorigenesis, and Apoptosis," <i>Journal of Bioenergetics and Biomembranes</i> 29(4):345-354.
	14.	Dixit, A. K. and Misra, L. N. (1997). "Macrocyclic Budmunchiamine Alkaloids from <i>Albizia lebbek</i> ," <i>Journal of Natural Products</i> 60(10):1036-1037.
	15.	Ganem, B. (1996). "Inhibitors of Carbohydrate-Processing Enzymes: Design and Synthesis of Sugar-Shaped Heterocycles," <i>Acc. Chem. Res.</i> 29(7):340-347.

EXAMINER: (examiner)

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not the citation conforms with MPEP 609. Draw a line through the citation if not in conformance and not considered. Include a copy of this form with next communication to applicant.

PTO/SB/08 (2-92)  
Sheet 1 of 3

Form PTO-1449

INFORMATION DISCLOSURE CITATION  
IN AN APPLICATION

(Use several sheets if necessary)

Docket Number 376462000800

Application Number 09/922,407

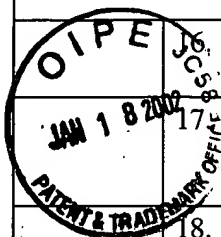
Applicant

FRYDMAN et al.

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Mailing Date January 10, 2002



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| 16. | Ganem, B. (1982). "New Chemistry of Naturally Occurring Polyamines," <i>Acc. Chem. Res.</i> 15:290-298.  |
| 17. | Gerardy, R. and Zenk, M. H., (1993). "Formation of Salutaridine from (R)-Reticuline by a Membrane-Bound Cytochrome P-450 Enzyme from <i>Papaver Somniferum</i> ," <i>Phytochemistry</i> 32(1):79-86.   |
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| 19. | Hosseini et al., (1983). "Efficient Molecular Catalysis of ATP-Hydrolysis by Protonated Macrocyclic Polyamines," <i>Helvetica Chimica Acta</i> 66(8):2454-2466.  |
| 20. | Hosseini et al., (1987). "Supramolecular Catalysis in the Hydrolysis of ATP Facilitated by Macrocyclic Polyamines: Mechanistic Studies," <i>J. Am. Chem. Soc.</i> 109(2):537-544.  |
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| 22. | Jahansouz et al., (1989). "Formate Activation in Neutral Aqueous Solution Mediated by a Polyammonium Macrocycle," <i>J. Am. Chem. Soc.</i> 111(4):1409-1413.   |
| 23. | Kimura, E. (1992). "Tetrahedron Report Number 318: Macrocyclic Polyamines with Intelligent Functions," <i>Tetrahedron</i> 48(30):6175-6217.  |
| 24. | Kramer et al., (1977). "Die "Zip" -Reaktion: Eine neue Methode zur Ringerweiterung; Synthese von 17- und 21gliedrigen Polyaminolactamen," <i>Angew. Chem</i> 89(12):899-900; and Chemical Abstracts CAPlus Record Accession No. 1978:37595/CAPlus Document No. 88:37595. |
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| 27. | Mertes, M. P. and Mertes, K. B. (1990). "Polyammonium Macrocycles as Catalysts for Phosphoryl Transfer: The Evolution of an Enzyme Mimic," <i>Acc. Chem. Res.</i> 23:413-418.  |
| 28. | Misra et. al., (1995). "N-Demethyl Budmunchiamines From <i>Albizzia Lebbek</i> Seeds," <i>Phytochemistry</i> 39(1): 247-249.   |
| 29. | Nagarajan, S. and Ganem, B. (1986). "Chemistry of Naturally Occurring Polyamines. 10. Nonmetabolizable Derivatives of Spermine and Spermidine," <i>J. Org. Chem.</i> 51:4856-4861.   |
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| 31. | Pezzuto et. al., (1992). "Budmunchiamines D-I From <i>Albizia Amara</i> ," <i>Phytochemistry</i> 31(5):1795-1800.  |

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Form PTO-1449

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# INFORMATION DISCLOSURE CITATION IN AN APPLICATION

(Use several sheets if necessary)

Applicant

FRYDMAN et al.

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Pezzuto et. al., (1991). "DNA-based Isolation and the Structure Elucidation of the Budmunchiamines, Novel Macrocyclic Alkaloids from Albizia Amara," *Heterocycles* 32(10):1961-1967.

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